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12-28-01

PTO/SB/05 (03-01)

Approved through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

Attorney Docket No. 3441

First Inventor Williams et al.

Title METHOD AND COMPUTER SOFTWARE PRODUCT FOR  
GENOMIC ALIGNMENT AND ASSESMENT OF THE  
TRANSCRIPTOME

Express Mail Label No. EL675507367US

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 28]  
(preferred arrangement set forth below)
  - Descriptive title of the Invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 4]
5. Oath or Declaration [Total Pages 4]
  - a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for a continuation/divisional with Box 18 completed)
  - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATIONS PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 C.F.R. §3.73(b) Statement ☐ Power of  
(when there is an assignee) Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure ☐ Copies of IDS  
Statement (IDS)/PTO-1449 Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent.
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No: \_\_\_\_ /

Prior application information: Examiner \_\_\_\_

Group / Art Unit:

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 17. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

22886

or ☐ Correspondence address below

(Insert Customer No. or Attach bar code label here)

Name

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Wei Zhou

Registration No. (Attorney/Agent)

44,419

Signature

Date

12/21/01

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

**FEE TRANSMITTAL**  
**for FY 2002**

Patent fees are subject to annual revision.

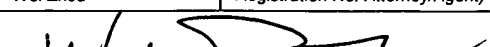
**Complete if Known**

Application Number	3441
Filing Date	12/21/01
First Named Inventor	Williams
Examiner Name	TBD
Group / Art Unit	TBD
Attorney Docket No.	3441

**TOTAL AMOUNT OF PAYMENT** (\$) 1740

<b>METHOD OF PAYMENT (check one)</b>		<b>FEE CALCULATION (continued)</b>						
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:		<b>3. ADDITIONAL FEES</b>						
Deposit Account Number	01-0431	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid	
Deposit Account Name	Affymetrix Inc.	105	130	205	65	Surcharge - late filing fee or oath		
<input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17		127	50	227	25	Surcharge - late provisional filing fee or cover sheet.		
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27		139	130	139	130	Non-English specification		
2. <input type="checkbox"/> Payment Enclosed:		147	2,520	147	2,520	For filing a request for reexamination		
<input type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other		112	920*	112	920*	Requesting publication of SIR prior to Examiner action		
<b>FEE CALCULATION</b>		113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action		
1. BASIC FILING FEE		115	110	215	55	Extension for reply within first month		
Large Entity Fee Code	Fee (\$)	116	400	216	200	Extension for reply within second month		
Small Entity Fee Code	Fee (\$)	117	920	217	460	Extension for reply within third month		
101	740	201	370	218	720	Extension for reply within fourth month		
106	330	206	165	228	980	Extension for reply within fifth month		
107	510	207	255	219	160	Notice of Appeal		
108	740	208	370	220	160	Filing a brief in support of an appeal		
114	160	214	80	221	140	Request for oral hearing		
<b>SUBTOTAL (1)</b>		138	1,510	244	310	Petition to institute a public use proceeding		
		140	110	240	55	Petition to revive - unavoidable		
		141	1,280	241	640	Petition to revive - unintentional		
		142	1,280	242	640	Utility issue fee (or reissue)		
		143	460	243	230	Design issue fee		
		144	620	244	310	Plant issue fee		
		122	130	122	130	Petitions to the Commissioner		
		123	50	123	50	Processing fee under 37 CFR 1.17 (q)		
		126	180	126	180	Submission of Information Disclosure Stmt		
		581	40	581	40	Recording each patent assignment per property (times number of properties)	40	
		146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))		
		149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))		
		179	740	279	370	Request for Continued Examination (RCE)		
		169	900	169	900	Request for expedited examination of a design application		
		Other fee (specify)						
		*Reduced by Basic Filing Fee Paid						
		<b>SUBTOTAL (3)</b> (\$) 40						
2. EXTRA CLAIM FEES								
Total Claims	50	-20 **	=	30	X	18	=	540
Independent Claims	8	-3 **	=	5	X	84	=	420
Multiple Dependent					X		=	0
Large Entity Fee Code	Fee (\$)	Small Entity Fee Code	Fee (\$)	Fee Description				
103	18	203	9	Claims in excess of 20				
102	84	202	42	Independent claims in excess of 3				
104	280	204	140	Multiple dependent claim, if not paid				
109	84	209	42	** Reissue independent claims over original patent				
110	18	210	9	** Reissue claims in excess of 20 and over original patent				
<b>SUBTOTAL (2)</b>		(\$) 960						
		**or number previously paid, if greater; For Reissues, see above						

**SUBMITTED BY****Complete (if applicable)**

Name (Print/Type)	Wei Zhou	Registration No. Attorney/Agent)	44,419	Telephone	408-731-5000
Signature				Date	12/21/01

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